

**DEVELOPING LEADERS AND MANAGERS
THROUGH THE USE OF 360-DEGREE PERFORMANCE APPRAISALS**

STRATEGIC MANAGEMENT OF CHANGE

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ABSTRACT

The lack of performance feedback for officers of the District of Columbia Fire and Emergency Medical Services Department, prompted a close examination of the current performance appraisal system. The problem prompting this research was that the current performance appraisal system did not provide for effective performance feedback to develop leaders and managers for the department. Effective leaders and managers play a major role in the success of any organization. The District of Columbia Fire and Emergency Medical services Department is no different then other organizations, and must provide feedback for the growth of department officers into leaders and managers.

The purpose of this research was to evaluate 360-degree performance appraisal systems used by effective organizations, and for the District of Columbia Fire and Emergency Medical Services Department to duplicate and improve on the best system for the development of leaders and managers. The evaluative research method was used. The following research questions were answered:

1. Can a 360-degree performance appraisal system provide feedback to develop the leadership and managerial needs of officers in the District of Columbia Fire and Emergency Medical Services Department?
2. How will the feedback from a 360-degree performance appraisal achieve the city and department values of accountability and improved customer service?

3. Should pay raises and promotions be linked to an officer's 360-degree performance appraisals, in the District of Columbia Fire and Emergency Medical Services Department?
4. Would it be cost effective and within the technology improvement plan for the District of Columbia Fire and Emergency Medical Services Department to implement a 360-degree performance appraisal system for its officers?

The procedures used to conduct this research were literature review, interviews with experts and a pilot program based on a 360-degree performance appraisal system on a Sergeant, Lieutenant, Captain and Battalion Fire Chief.

The results showed that a 360-degree performance appraisal system provided feedback to develop the leadership and managerial needs of officers. City and department values of accountability and improved customer service will be increased internally and the benefits will carry over externally. Pay and promotions should not be linked to a 360-degree system and the system is cost effective as a developmental instrument for leaders and managers.

Recommendations call for the District of Columbia Fire and Emergency Medical Services Department to develop an incremental plan to use a 360-degree performance appraisal system.

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INTRODUCTION

The development of leaders and managers requires performance feedback on their assigned tasks and responsibilities, as well as their managerial and leadership skills. The potential leaders and managers of the District of Columbia Fire and Emergency Medical Services Department are in a rank structure comprised of Sergeants, Lieutenants, Captains, and Battalion Fire Chiefs. These officers need to be developed into leaders and managers. They need to have their strengths and weaknesses identified in an effort to promote growth in their tasks and responsibilities.

The District of Columbia Fire and Emergency Medical Services Department does not provide performance feedback to its officers that meets these objectives.

The purpose of this research is to evaluate the 360-degree performance appraisal system as a method to develop leaders and managers for the department. This research is prompted by city values for further accountability and improvement of delivery services by all city agencies, including the District of Columbia Fire and Emergency Medical Services Department. Full circle or 360-degree performance appraisals support these values. They will hold officers of the department accountable for providing better customer service to their subordinates, supervisors and peers. If the District of Columbia Fire and Emergency Medical Services Department can accomplish this internally, then it will carry over to the those who use the services provided by the department.

The evaluative research method was used. The following research questions were posed:

1. Can a 360-degree performance appraisal system provide feedback to develop the leadership and managerial needs of officers in the District of Columbia Fire and Emergency Medical Services Department?
2. How will the feedback from a 360-degree performance appraisal achieve the city and department values of accountability and improved customer service?
3. Should pay raises and promotions be linked to an officer's 360-degree performance appraisal in the District of Columbia Fire and Emergency Medical Services Department?
4. Would it be cost effective and within the technology improvement plan for the District of Columbia Fire and Emergency Medical Services Department to implement a 360-degree performance appraisal system for its officers?

BACKGROUND AND SIGNIFICANCE

On August 1, 1958, Public Law 85-584 was signed into law by President Dwight D. Eisenhower. This law required every uniform member of the Fire Department in the District of Columbia to have a satisfactory or better performance rating in order to receive a service longevity step (pay) increase (District of Columbia Fire and Emergency Medical Services Department Order Book). This is the performance appraisal system in use today by the Department (Appendix A, Performance Appraisal Forms).

Concerns were raised by the District of Columbia Financial Responsibility and Management Authority (the Control Board), to the leadership of the Fire and Emergency Medical Services Department, about the it's performance appraisal system. The Control Board was appointed by President Clinton and Congress in 1995 to oversee the operations of the District of Columbia Government. In July 1997, the Control Board took over the day-to-day management of nine District Government Agencies by an act of Congress. The Fire and Emergency Medical Services Department was one of the nine agencies. The Control Board has mandated that a new annual employee performance appraisal system be in place by July 1, 1998, for every member of the District of Columbia Fire and Emergency Medical Services Department. The incentive for completing this mandate is its link to a 10% pay raise for Department members effective October 1, 1998.

District of Columbia Fire and Emergency Medical Services Department

The city of Washington, D.C. is the Capital of the United States of America. Washington, D.C. is 68.7 square miles by its boundaries. The resident population of the city is approximately 564,000. However, the Washington metropolitan area has a population of more than 4.5 million. On typical work days, the city's population burgeons to more than two million (Cook, 1996).

In 1998, the District of Columbia Fire and Emergency Medical Services Department operated with 32 engine companies, 16 ladder companies, three heavy-duty rescue squads, one hazardous materials unit and three fireboats. In addition, the emergency medical services operated 10 paramedic units and 16 ambulances. The Department is under the command of the Fire Chief supported by three Assistant Fire Chiefs. The on-duty command staff includes one deputy fire chief, six battalion fire chiefs, and four emergency medical services supervisors. The total on-duty staff is 281 personnel. Supporting the suppression and emergency medical services operations are the Communications Division, Training Division, Fleet Maintenance Division, Fire Prevention Division and the Administrative Division.

Political Layers of the District of Columbia

There were five political layers involved in the activities of the District of Columbia Government prior to July, 1995. Agencies of the District Government such as Fire and Emergency Medical Services Department reported to the Mayor, the City Council, both Houses of Congress and, at times, to the President. The Mayor and the City Council are the elected officials of the citizens of the District of Columbia. The form of government is a strong Mayor and a less powerful City Council. The Mayor prepares the City Budget, which approved by the City Council and then forwarded to the United States Congress.

The United States House of Representatives' House District Committee holds hearings on the City's Budget and Laws. After approval in the House, they are forwarded to the United States Senate, which will either vote for approval or amendment, and returned to the House. After approval by both the House and Senate, Congress sends the City's Budget and Laws to the President of the United States to be signed into law or vetoed.

In July 1995, the President and Congress established the Control Board. This Board is comprised of five members who oversee the affairs of the District of Columbia Government. The Control Board has a wide range of powers including final approval of all city expenditures and contracts. The Chairman of the Control Board is the only one who can fire the new Chief Financial Officer, who controls all District Finances.

In July 1997, Congress passed a bill to place nine District Agencies under the direct supervision of the Control Board. The President signed the bill into law. The Fire and Emergency Medical Services Department reported directly to the Chairman of the Control Board. Control Board

Chairman, Dr. Andrew Brimmer, mandated the Fire Chief to develop a performance appraisal system for the agency. Dr Brimmer later linked this mandate to a pay raise for the members of the Fire and Emergency Medical Services Department in October 1998.

Current Performance Appraisal System for the Department.

On August 1, 1958, Public Law 85-584 required every uniform member of the Fire Department in the District of Columbia to have a satisfactory or better performance rating in order to receive a service longevity step (pay) increase. In the Fire and Emergency Medical Services Department, there is a performance appraisal system for members who are receiving service longevity step increases. However, these appraisals are neither geared toward officers' performance or performed on an annual basis.

Each member receives an annual performance appraisal in their first three years in the department. After the third year, the time frames vary between two and three years. These evaluations give very little feedback to employees who have performed at a satisfactory or higher level. Officers and members whose performance is below satisfactory are notified of this fact and given feedback in writing on how their performance must improve over the next 90 days, or they will not receive their longevity service step increase.

Probationary members are required to be tested and evaluated each month during their first year. These members can be terminated in their first year for misconduct, inefficiency or incompetence.

Longevity service step increases are very important to the officers and members of the Fire and Emergency Medical Services Department. Equally important is receiving feedback on their

performance. There are many officers and members of the department who are constantly looking for ways to improve their performance. There is no formal written feedback for officers and members in the current process, unless they are being considered for an unsatisfactory performance rating. Therefore, the officers do not receive constructive feedback on their performance or on methods to improve their leadership and management skills.

This evaluation of a 360-degree performance appraisal system for use by the District of Columbia Fire and Emergency Medical Services Department was prepared to meet the applied requirements of the *Strategic Management of Change* course at the National Fire Academy. The research relates to the problem-solving unit of the *Strategic Management of Change* course by stating the problem, evaluating the best methods to resolve the problem through gathering information, and testing methods to solve the problem. The problem is that the current performance appraisal system for officers of the District of Columbia Fire and Emergency Medical Services Department is not an effective tool for developing leaders and managers to meet the city values for further accountability and improved delivery services.

The results of this research will have a significant impact on the Department's ability to have an effective performance appraisal system for officers to receive feedback on their job performance, thus allowing them to develop their leadership and management skills. This research will provide the information necessary to make a decision on the best method to implement the change to a performance appraisal system that is an effective developmental tool for officers of the Department.

This information comes at an opportune time for the District of Columbia Fire and Emergency Medical Services Department because of the mandate by the Control Board to have an annual

performance appraisal system for every officer and member. Supplying this research to those involved in the decisionmaking will facilitate negotiations with the unions for an effective system to replace the current performance appraisal system.

LITERATURE REVIEW

Literature dealing with information on 360-degree performance appraisal systems generally fits the 1994 description of Brian O'Reilly:

You've been x-rayed, CAT scanned, poked, prodded and palpated in all the most embarrassing places. Now a kindly professional you've never met is about to pull up a folder with your name and tell you what he or she has found. Only it's not your lower intestine that's about to be discussed but something even more personal: you: Your personality. The way you deal with people. Your talents, your values, your ethics, your leadership. And folks who did the poking and temperature taking weren't anonymous technicians, but a half dozen of your closest colleagues at work. (p. 93)

In 1995, Warren Shavers echoed O'Reilly when he stated, "Finally, 360-degree feedback can be very scary for ratees. Some of the collected information can be personal or even embarrassing. It's hard to remember that criticism is supposed to be constructive when a half dozen people have said you are too disorganized." (p. 1)

The technical description used for 360-degree performance appraisal raters is qualified by Latham (1984) in answering his question, “Who Does the Appraising?” Latham’s response was, “Typically, this would include the person’s superiors, peers, subordinates, clients or customers, and the employee himself or herself.” (p. 95) Latham, thinks the popularity of 360-degree appraisal processes is because these evaluations focus on the future.

The most effective strategy for dealing with poor performance is to focus on the future, rather than on the past. Focusing on the past is generally unproductive for a couple of reasons. First, there is no way that the past can be undone. Second, it is likely to lead to dispute due to different perceptions of past events by the appraiser and the subordinate. It is true that valuable lessons can be learned from past mistakes, but these lessons are likely to be more palatable to the learner if the emphasis is on what he or she shall do differently starting today, than if the emphasis is mainly on the appraiser’s perceptions of the employee’s errors, omissions, and foul-ups. (p. 97)

Peter Drucker (1966) discussed the performance appraisals that focus on a person's weaknesses this way:

For a superior to focus on weakness, as our appraisals require him to do, he destroys the integrity of his relationship with his subordinate. The many executives who in effect sabotage the appraisals their policy manuals impose on them follow sound instinct. It is also perfectly understandable that they consider an appraisal interview that focuses on a search for faults,

defects, and weaknesses distasteful. . . . It is the wrong tool, in the wrong situation, for the wrong purpose. (p. 85)

Drucker also stated that the focus of performance appraisals should be on strengths, not weaknesses, and that the following four questions will achieve this goal:

- (a) What has he or she done well?
- (b) What, therefore, is he likely to be able to do well?
- (c) What does he have to learn or to acquire to be able to get the full benefit from his strength?
- (d) If I had a son or daughter, would I be willing to have him or her work under this person?
 - (i) If yes, why?
 - (ii) If no, why?

Weaknesses are seen as limitations to the full use of his strengths and to his own achievement, effectiveness, and accomplishment Question (d)(ii) is the only question not primarily concerned with strengths. Subordinates, especially those that are bright, young, and ambitious, tend to mold themselves after a forceful boss. There is, therefore, nothing more corrupting and more destructive in an organization than a forceful, but basically corrupt, executive. Such a man might operate effectively on his own. Even within an organization, he might be tolerable if denied all power over others, but in a position of power within an organization, he destroys." (p. 87)

This change in focus of performance appraisals described by Drucker (1966) may have been the foundation for the type of feedback appraisals that show strengths, and identified weaknesses for

would be leaders and managers. This type of feedback allows these leaders and managers an opportunity for growth.

In 1995, Stephanie Gruner described one of the driving forces behind the change from the top down to a 360-degree process this way:

It used to be simple. Employees met with a boss for a performance review, and either got a raise or didn't. But times change. In today's flatter organizations, more and more companies realize they need feedback from people at all levels. As a result, peer reviews and upward reviews (in which employees review their supervisors) today supplement the traditional top-down reviews in some companies. Now, with the latest evolution -- 360-degree reviews -- the performance evolution has come full circle.

Hymes (1996) describes an example of why the fire service needs feedback from subordinates to company officers. This example explains why there is difficulty in achieving such feedback.

Can I speak to you a second, chief ? ... Sure, Tom. What's up? I'd like to talk about a little problem at our station, if I could. I thought that's what captains were for, I teased. Well the problem is the captain. It's been going on for a long time; everyone's reluctant to bring it to your attention. We keep thinking it'll cure itself, but it's not.

He went on to present a picture of an autocratic type supervisor, maybe even a touch despotic, who ran the company with an iron fist, and who stifled initiative with sarcastic and demeaning retorts.

The type of supervisor he was describing was the bad example we all read about in our personnel administration books, but this was not the captain I knew. I found the story unbelievable, even questioning my own critical perception of others, and perhaps unwilling to admit my own naivete. However, candid conversation with present and past subordinates proved the situation quite true, maybe understated. A confrontation loomed.

Because fire stations create a decentralized workplace, battalion chiefs and above seldom achieve close contact with subordinate supervisors. We can't monitor supervisory skills directly as we might like. We generally observe the company's performance and take our cues from there. Since we, as managers, are charged with tremendous responsibility in terms of employee development, we require feedback from every angle to ensure that our subordinates are adequately and appropriately trained." (p. 109)

Rivera, (1996) discussed the El Paso, Texas Fire Department's adopting of a 360-degree performance appraisal process, "The data generated by these [360-degree appraisals] were compared to determine any amount of change. Results indicated that multi-source assessments were the wave of the future."

There has been rapid growth in the use of 360-degree performance appraisals. In O'Reilly's article, several private industry executives are quoted on their feelings concerning the use of 360-degree performance appraisals. The following are some of their quotes:

But several feedback experts single out "untrustworthy" as the most devastating single criticism for most people. "Bad listener" stings. Word that your judgement and thinking are subpar will

rattle almost anyone too, says Susan Gebelein, vice president of Personnel Decisions Inc., a big human-resources consulting company in Minneapolis. “Those are the core competencies”, she says.

What’s most interesting about feedback isn’t the pain it causes, the mechanics of its operation, or its growing popularity. It is the huge variety of unpredictable comments -- and potential learning -- that it delivers. Most people are surprised by what they hear. Only a fraction of managers have a good grasp of their own abilities. Those with certain blind spots are routinely judged less effective by co-workers. (p. 94)

Gebelien goes on to say: Feedback delivers its wallop and generates change -- depending on the person and the organizational value. If they care about relationships with others, it will have an effect in that area. If they emphasize management planning, it will have an impact there also. (p. 100)

The president of Raychem, a 1.5 billion electronics and electrical company in California, says: he didn’t get any major surprises about himself, but he was intrigued to learn that he wasn’t fooling his subordinates either. They told Robert Saldich that he wasn’t good at contingency planning. (p. 94)

Most revealing to Joe Malik, manager of a team of engineers for AT&T, was that his subordinates expected things of him he’d never imagined. “I found out I need to articulate the vision and mission of our little unit.” I was surprised. Not because I pride myself on my

visioning, but because we're a heads-down organization working on networking products for the phone system.

Most people want to know where we're going, whether the managers' heads are screwed on right, and what I aspire the business to be.

Many companies are using feedback for culture change to accelerate the shift to teamwork and employee empowerment. (p. 94)

William J. Miller, a research supervisor at Du Pont, helped install a feedback system for 80 scientists and support staff several years ago. A high or low score didn't predict a scientist's ability to invent Teflon, says Miller. But what feedback did was really improve the ability of people to work in a team. Their regard for each other and their behavior (which were damaging and self-centered) are what changed. (p. 100)

The growth of 360-degree performance appraisals was expressed by Stephanie Gruner this way: "There's no doubt that 360-degree reviews are trendy. A study last year by the American Management Association revealed 13% of companies surveyed do 360-degree reviews, and the number is growing."

Performance appraisals of leaders and managers should be designed to measure these leaders and managers against the values of the organization. These appraisals may be trendy, but they are not a fad according to Warren Shavers, Jr. (1995):

One thing is for sure -- this is not a fad. Use of multi-rater systems has been increasing for years. Consultants Ellen van Velsor and Stephen J. Wall say the number of off-the-shelf feedback instruments alone have quadrupled from 1982 to 1992. More are being developed both commercially and privately all the time. (p. 1)

In 1996, Rafael Colón, who is the Administrator of Management Education and Developmental Services for the Washington State Department of Personnel, wrote about Washington State's use of 360-degree assessments in public-sector management:

These are extraordinary times for managers in all fields of endeavor. The working environment, technology, work force, customer expectations, and the very nature of work itself, are all undergoing revolutionary and constant change. In this changing world, time-honored conventions of management practices cannot be counted on to garner the same results as they did in the past. While they strive to keep up with the changes in the workplace, managers must deal with the additional challenges of downsizing, accountability, and ethical dilemmas.

In addition to these challenges, managers in the public sector must find ways to meet increasing demands for service with declining resources and satisfy the public's expectations for higher quality services. To do this, government managers must find ways to manage smarter, increase efficiency, and improve services.

Management Excellence Through Assessment (META) says that a 360-degree process is a full perspective feedback and developmental process that enables managers to see themselves as others see

them. Perspectives from staff, peers, and supervisors are synthesized and returned in a confidential report that portrays both management strengths and development needs. The focus of the instrument is to strengthen management and leadership practices considered critical for successful performance in the public sector. (p. 1)

Colón explains the development and design of this system:

U.S. Office of Personnel Management created the Management Excellence Instrument (MEI). DOP experts in the areas of test design, psychometrics, and assessment substantially customized the MEI, expanding it from a two-dimension assessment to a multi-rater survey.

To identify the characteristics of management excellence, DOP studied public-sector managers who demonstrated success in supervising staff, managing programs, directing resources, facilitating teams, working with the legislature, and related functions. Critical incident interviews were conducted with these “master performers” to identify the practices that are considered critical for successful managerial performance.

An analysis of the “best practices” of these managers was coupled with the knowledge, skills, and abilities recognized in the state’s performance-appraisal process for managers. This information was then distilled into 74 questions on specific management practices that were considered critical to the role of the public sector manager.

The 74 questions were grouped into 12 competency areas as follows:

- Leadership
- Accomplishment Orientation
- Technical Competence

- Human Resources Management
- Monitoring/Evaluation
- Representation and Coordination
- Communication
- Interpersonal Skill
- Planning
- Guidance/Coaching
- Financial/Material
- External Awareness

Three Environments of the 12 Competencies

Organization. Effective managers are the linchpin between the work group and other organizational units and activities external to the work group. There are two management competencies in this environment: 1) representation and coordination; and 2) external awareness. The management practices related to each competency are those that are important for integrating work-group activities with the activities of other program units and with clients.

Team. Effective managers use the expertise of the work group members they manage. There are five management competencies in this environment: human resources management, planning, financial/material, guidance/coaching, and monitoring/evaluation. The management practices related to each competency are those that support and encourage the work group's efforts.

Personal. Effective managers possess the essential knowledge, skills, and personal style that enhance organizational and work-group functions. There are five management competencies in this environment: accomplishment orientation, technical competence, interpersonal skill, communication, and leadership. The management practices related to each competency are those that have a productive effect on the tasks and improve the social context in which the manager works. (p. 4)

The discussion on how the process works is described this way by Colón:

The three levels of interaction in the META 360-degree process are systemic in nature. The manager operates in all three environments in varying amounts of time -- often simultaneously.

These three operating environments cut through the entire structure and organize the competency areas and management practices.

The META 360-degree process begins with an orientation session to help participating managers understand what to expect from the process, how to profit most from it, and the importance of rater selection and education. The education of raters helps to minimize rater bias and improve the quality of the data for meaningful development.

Surveys are completed by:

- The participating manager;
- His or her supervisor;
- His or her peers (a minimum of 2, preferably 4); and

- His or her staff (a minimum of 2).

Raters return the questionnaire answer sheets to DOP for automated scoring. The scoring process calculates the responses and creates a report that includes:

- Individual skills profile;
- A competency bar graph by group (a chart representation);
- Competency responses by group (a numeric representation);
- Management strengths; and
- Developmental needs. (p. 4)

Shaver discusses the same generic process as described by Colón and O'Reilly. Remarkably, this is the type of process that was performed on me by the George Washington University's Center for Excellence in Municipal Management (the "Center"), a program for District Government Employees.

The literature reviewed indicated that the best place for additional information on 360-degree performance appraisals, and how they could benefit the District of Columbia Fire and Emergency Medical Services Department in the development of officers into better leaders and managers, would be to contact the Center for Excellent in Municipal Management.

On October 2, 1998, in an interview conducted with Mark Bigelow of the George Washington University's Center for Excellence in Municipal Management, he explained that the 360-degree performance appraisals used by the Center was a program owned by the District of Columbia Government. It had been purchased from the United States Government and was developed by the Office of Personnel Management. Mr. Bigelow explained that the Program was called "USA Careers",

and that there were many different types of employee classifications and performance appraisals for these classifications. He went on to explain that it was a computer-based system, and that he was performing the data entry from the information on each form. However, this was not the way the system was designed to be used. During the discussion, Mr. Bigelow said that the District of Columbia Office of Personnel's Center for Work Force Development would be a good source of information on how the USA Careers System would be used by agencies of the District Government.

In two subsequent interviews with the District of Columbia Office of Personnel's Center for Workforce Development's Director, Dr. David J. Pass, and Training Manager, Ms. Gillian Myers, valuable information was gained regarding the development and use of the USA Careers program for the District Government Agencies.

In an interview with Dr. David J. Pass on April 3, 1998, he explained that the history of the USA Careers program started about three to four years ago when the United States Office of Personnel Management decided to simplify job classification. The intention was to broadband many of the current classifications into areas that required common skills. The common skills were broken down into three bands: Managerial Supervisor, Executive (Professional and Administrative), and Clerical and Technical. The intention would be to have jobs that would have not only common skills, but also transferable skills.

Employees of the District Government were part of the consortium that worked on this project for the Federal Government. This consortium developed two programs. One was the 360-degree assessment program, USA Careers, and the other was titled Human Resource Manager.

The Human Resource Manager Program would assist human resource managers with the matching of skills and job classifications. USA Careers would provide assessments of employees that would identify strengths and weaknesses, plus provide a developmental plan for the employee. In some cases, employees may find that it would be in their best interest to change job classifications.

When asked about the use of 360-degree performance appraisals for pay raises and promotions, Dr. Pass explained that there were several factors that would have to be considered. First, that the assessment was designed to be private for the ratee, and that the effectiveness of 360-degree appraisals was based, in part, on it being confidential. If these assessments were to be shared with supervisors, then all would be informed up front. Dr. Pass did agree that the 360-degree performance appraisal could be used as the basis for a performance contract and that the exceeding of objectives could be linked to higher pay.

Linking the USA Careers to the agencies of the District Government was the responsibility of the Center for Workforce Development's Training Manager, Ms. Gillian Myers. In a personal interview on April 7, 1998, Ms. Myers explained the ability of District Government Agencies to use the USA Careers Program. Ms. Myers explained that it was a computer-based system that could be used on the District Government Internet. Each office would have a password, and the password would open the program to allow for data to be entered. However, only the person being assessed could gain access to the data in its completed form. This would allow the assessment to be confidential.

The system is currently set up as a model at the personnel office. In the near future, the system would be offered at six career assessment centers that would be located at facilities throughout the District Government. Ms. Myers felt that this program, when in place, would fit into the technology

plans for all District Government Agencies, and would be a very cost- effective method to conduct 360-degree performance appraisals. The interviews with Ms. Myers, Dr. Pass, and Mr. Bigelow, combined with the writings of O'Reilly, Shavers, Latham, Drucker, Gruner, Hymes, Rivera, and Colón, provided the factual information that a 360-degree performance appraisal system could be an effective performance feedback system for use in the District of Columbia Fire and Emergency Medical Services Department.

PROCEDURES

This evaluative research project began with a review of published materials at the Gelman Library located on the Campus of George Washington University in Washington D.C., and at the Emergency Training and Learning Resource Center, in February of 1998. Additional literature reviews were conducted at the George Washington University's Center for Excellence in Municipal Management, the District of Columbia Fire and Emergency Medical Services Department's Training Academy, and the author's personal library, and were conducted for related information between October 1997 and March 1998.

The literature review was directed toward gathering information about the use of 360-degree performance appraisals.

Interviews were conducted with Mark Bigelow, George Washington University's Center for Excellence in Municipal Management, on October 2, 1997; Dr. David J. Pass, Director, District of

Columbia Office of Personnel's Center for Workforce Development on April 3, 1998; and Ms. Gillian Myers, Training Manager, District of Columbia Office of Personnel's Center for Workforce Development, on April 7, 1998. Follow-up questions were directed to these individuals throughout this project as technical or historical information was discovered.

Based on my personal experience with a 360-degree performance appraisal in July 1997, I felt it was an excellent instrument for fire officers to receive feedback on their performance.

I shared my experience with newly-appointed Fire Chief Donald Edwards and Assistant Fire Chief Floyd Madison. After much discussion on 360-degree performance appraisals, Fire Chief Edwards granted permission for me to conduct a pilot program using 360-degree performance appraisals. The Fire Chief wanted the pilot program to have the following boundaries to prevent any misunderstandings between labor and management:

The pilot program was to use four volunteers -- one from each of the following ranks in the department: Sergeant (lowest level supervisor), Lieutenant (assigned as platoon company officers), Captain (assigned as company commanders and platoon company officers), Battalion Fire Chief (Battalion Commanders and Incident Commanders). These officers would represent the diversity of the department.

Each volunteering officer would have a 360-degree performance appraisal conducted on them. These officers would be rated by their supervisor, peers, subordinates, and themselves using an instrument with 45 questions that measured 19 competencies. (Appendix B -- USA Careers, Questions and Competencies) After the appraisal process was completed, each individual was privately counseled on their 360-degree performance appraisal by Mark Bigelow. Mr. Bigelow conducts

assessment reviews for the Center for Excellence in Municipal Management. These volunteers were then given approximately one month to reflect on their appraisal. I conducted an interview with each volunteer using the same questions to gain insight into their experience of receiving a 360-degree performance appraisal. (Appendix C -- Interview Questions for Pilot Program)

The questions were designed to gather information on each individual's experience of receiving the feedback provided by a 360-degree performance appraisal. The answers to these questions were used as part of the development of the answers to the research questions posed for this project:

Question 1

What portion of the 360-degree performance appraisal focused on the type of feedback a fire officer needs, or does not need, and why?

Sergeant	Felt that all portions were necessary. His opinion changed after he received the feedback because of the way the instrument was designed with common ground.
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Lieutenant	Thinks the entire program was excellent and focused on your strengths and weaknesses from all angles. The important thing is to have honest raters. The categories fit the needs of a fire officer.
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Captain	I thought it focused on leadership and team building and was a well-rounded look at all the aspects of what I do everyday.
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Battalion Chief After receiving feedback, not one portion had more merit than the next. Therefore, I feel it is important to get the entire feedback from all portions and to get honest replies from your raters and yourself.

Question 2

Based on the feedback, were there identified strengths and weaknesses that you did not anticipate?

Sergeant Always with something like this, your ego will make you grade yourself harder. I think most people know their weaknesses, and there was common ground between myself and my raters. I think you have a tendency to grade yourself down on your strengths, but I was surprised in several of the areas I received higher marks than I gave myself.

Lieutenant I got one surprise. It was a weakness and was rated the same by everyone except me, so I knew this was an area I needed to work on. The rest was in line with what I thought, however, I did find one area of strength I did not expect, and three weaker areas.

Captain Looking at the graph, there is not a wide margin of difference between the raters on any area. I thought I got higher marks in my Interpersonal

Skills then I expected. I am amazed at the consistency of the graph throughout, and that I received such high marks.

Battalion Chief I tried to get people who would rate me justly and honestly. I was surprised that the people basically rated me the same as I rated myself. The only difference was that I got higher ratings from others than I got from myself.

Question 3

What is your overall opinion of 360-degree performance appraisals, and would you recommend it be used for officers in the District of Columbia Fire and Emergency Medical Services Department? Why or why not?

Sergeant Generically it is a very sound program that allows you to focus on one or two areas to work on. I would strongly recommend it for supervisory personnel in the department. It could be tailored to the various ranks in the department to allow for more focus on the objectives of the department.

Lieutenant I would strongly recommend it for officers. It was very beneficial and can only make you stronger. Sometimes as officers, you operate with

blinders on, and don't realize what is going on around you. The evaluation gives you an opportunity to see and to grow.

Captain

Really good program. It covered everything. Some questions did cover his job. It was excellent. It gave me an opportunity to improve because I gave it to honest people and that's important. Average people will be leery of this type of program, but I think good leaders will embrace this as an opportunity to improve. I think it could renew some spirit in others. When a person has a problem area explained to them, and are given some goals to strive for, it can really be something positive.

Battalion Chief

I would recommend it for every officer in the department. Officers will gain insight into their leadership styles, and into their stronger and weaker areas. However, everyone must give just and honest answers. That is the critical part of this program.

Question 4

Having received this feedback, did it help you to focus on how you can develop skills that will make you a better leader and manager?

- Sergeant** I am already working on several critical areas I identified from the survey. I am also looking into several training models and reading publications that I think will improve my skills in the areas that I identified as weak. I believe that once the individuals receive their feedback, they will begin developing a plan to improve themselves.
- Lieutenant** One thing is to improve my problem-solving skills. I have other weaker areas that I can focus on, but now I have set short and long-term goals. Now I am aware of areas where I can obtain specific training that will help me improve.
- Captain** To be honest, I'm the type of person who watches other people who are the best at what they do, and then try to learn from them. I enjoy learning new things and staying current. I also have a desire to stay at the top of the line in my skills. However, I do have several areas to work on, and I will try anything to make me better at what I do. I anticipate taking some type of training for improvement in the future.
- Battalion Chief** I looked at the graphs to find areas that showed large differences between the raters and myself. I have critiqued myself in these areas, and some are as simple as forcing myself to better plan or improve my

scheduling. Others will require some additional training to help develop skills. That is why I think it is so critical to receive just and honest rating from people.

Limitations

This research could have been flawed by several factors. First, only having one person from each of the officer ranks, (Sergeant, Lieutenant, Captain and Battalion Chief) could have generated some less-favorable opinions of 360-degree performance appraisals. Using a larger number of officers could have generated a labor management problem and the pilot program may not have been possible.

Second, the individuals selected for the pilot program were the officers that I consider to be top-knotch officers in the District of Columbia Fire and Emergency Medical Services Department. There could have been some negative feedback on the project had some random method of picking the officers for the pilot program been used.

Third, due to time constraints, it can only be speculated that each of the officers in the pilot program will improve on their identified weaknesses from the survey. The time frame of this project does not allow the opportunity to see the development of these officer's leadership and management skills.

Definitions

BROAD-BANDING OF JOB CLASSIFICATIONS. This is a newer concept that allows for a different method of classifications of employees. This concept allows employers more flexibility in two areas: (i) the assignation of compensation levels; and (ii) the utilization of manpower.

For example, it will eliminate many job titles that tend to intimidate employees. Broad-banding reduces the number of pay grades which prevents grade switching to achieve pay increases. It also facilitates more of a team-oriented reward system.

Ratee. The person who is the subject of the performance appraisal.

Rater. Is a person who is completing a performance appraisal questionnaire on the ratee.

RESULTS

- 1. Can a 360-degree performance appraisal system provide feedback to develop the leadership and managerial needs of officers in the District of Columbia Fire and Emergency Medical Services Department?**

The information to answer this question is found in the reviewed materials and in the pilot program that was conducted for this project.

When looking at the benefits of using 360-degree performance appraisal feedback, the development of the individual receiving feedback is the focus of the appraisal. The individual will receive feedback from all angles, which can uncover strengths and weaknesses the manager may not

have even considered. This feedback provides different information from many different untapped sources. This feedback can become the developmental leadership and managerial goals for the officers.

Skill and behavior improvements aid in the development of leaders and managers by making them accountable for their own improvement. The best way to look at a 360-degree performance appraisal system is as a source of information that make better leaders and managers. (Shaver, 1995, p. 13)

These benefits are echoed by many of the comments made by the officers in the pilot program. When asked what portion of the 360-degree performance appraisal focused on the type of feedback a fire officer needs, or does not need, and why, all the officers responded that all portions were essential for the feedback they needed to improve their skills. The comment from the Captain summed it up best: “I thought it focused on leadership and team building and was a well-rounded look at all the aspects of what I do everyday.”

2. How will the feedback from a 360-degree performance appraisal achieve the city and department values of accountability and improved customer service?

The feedback from the 360-degree performance appraisal can be matched to the organizational values. In many cases, the supervisor does not know what the subordinates expect of them. For example, Joe Malik said, “his subordinates expected things of him he’d never imagined. I found out I needed to articulate the vision and mission of our unit.” (O’Reilly, 1994, p. 94) This example relates to the lack of feedback received by officers in the department. The officers do not realize that their

subordinates are expecting them to articulate vision and mission of the department, division, battalion company, or unit.

Teamwork is preached at every level of the fire service. However, many times it is lacking, as was pointed out by Hymes (1996), in his example of the Captain in charge of the station. (p. 109) Full circle or 360-degree performance appraisals will make people more accountable to their subordinates, peers and supervisors. Feedback is received from all levels in their appraisal. In many cases, it is anonymous, but if the feedback is the same from at every level, it becomes hard to dispute.

The comment by Gebelien, "Feedback delivers its wallop and generates change depending on the person and the organizational value. If they care about relationships with others, it will have an effect in that area. If they emphasize management planning it will impact there." (O'Reilly, 1994, p.100).

When asked about recommending the use of 360-degree performance appraisals during interviews with the officers involved in the pilot program, some of their comments were, "I strongly recommend it for officers because it could be tailored to the various ranks in the department to allow more focus on the objectives of the department. When a person has a problem area explained to them, and are given goals to strive for, the end result can be positive. Officers will gain insight into their leadership styles, and into their stronger and weaker areas." These statements are an indication that the department can achieve better accountability and improved customer services internally, which can quickly become external values.

Accordingly, the comments mentioned above, combined with those of Gebelien and the reviewed materials, provide the support that a 360-degree performance appraisal can achieve the city and department values of accountability and improved customer service.

3. Should pay and promotions be linked to an officer's 360-degree performance appraisals, in the District of Columbia Fire and Emergency Medical Services Department?

At this time, the linking of pay raises and promotions to an officer's 360-degree performance appraisal is not supported by the research of this project. The focus of 360-degree performance appraisals should be on feedback for development, and not on compensation.

In the District of Columbia Fire and Emergency Medical Services Department, the majority of the officers are uniformed firefighters (appointed to the department as a firefighter). Other officers are supervisors of the civilian workforce (not appointed to the department as firefighters). Therefore, uniform officers receive promotions through a competitive process, and their pay increases two ways. First, pay raises are part of the collective-bargaining process between labor and management. Second, are the service longevity step increases. These increases include pay increases and are based on individual performance appraisals.

In my discussion with Dr. David Pass on April 3, 1998, he indicated that using the 360-degree performance appraisals for promotions and pay raises would not be something that he would recommend. He felt that because there were so many variables that came into play, and because this is an assessment tool designed to be private for the ratee for use in their development. Dr. Pass could see some potential use down the road with a performance contract that had goals and objectives that were agreed upon by the supervisors and individuals.

The reviewed materials support Dr. Pass' opinions on linking 360-degree performance appraisals to pay and promotions. One company president, used it as a developmental tool, rather than a punitive tool. The 360-degree review is optional in his company, and is given six months before appraisals tied to compensation. This allows the ratee time to learn from the 360-degree reviews and make changes prior to their salary appraisals.

David Antonioni, an associate professor at the school of Business at the University of Wisconsin-Madison, concurs with having two types of evaluations. It encourages honest feedback. Besides, he says, "peers don't want to make compensation decisions about each other." (Gruner, 1997, p. 102).

The use of 360-degree performance appraisals for pay and promotions is summed up nicely by O'Reilly, (1994), "The results won't necessarily determine your pay, promotions, or terminations. At least not yet. The technique, as it is now applied, doesn't work well for that. When [What] it is designed to do is provide information that you can use to become a better manager, scores from handpicked pal or from randomly chosen associates typically turn out remarkably similar.(p.93)"

The linking of pay raises and promotions to an officer's 360-degree performance appraisal is not supported by this research. However, the research strongly supports the need to use 360-degree performance appraisals for the development of leaders and managers. In the case of the District of Columbia Fire and Emergency Medical Services Department, most pay raises and promotions are linked to processes. These processes do not provide individuals with the feedback they need to develop into better leaders and managers, which is provided by the 360-degree performance appraisals.

4. Would it be cost effective and within the technology improvement plan for the District of Columbia Fire and Emergency Medical Services Department to implement a 360-degree performance appraisal system for its officers?

In order to be cost effective, it is recommended that 360-degree performance appraisals be used as part of a computer-based system. An important consideration, when using a computer-based system, is that the raters and ratees feel assured that there is confidentiality in the system. (Shavers, 1995, p. 6)

On April 7, 1998, Ms. Gillian Myers explained in a telephone conversation that the USA Careers program is a computer-based system, designed to have the data from the questionnaire entered directly into a computer through the District Government Internet. Each person will have a password that allows them access to the USA Careers Program. The raters can be selected by the ratee or by the ratee's supervisor. In either case, only the ratee would be able to retrieve the results of their 360-degree performance appraisal. She also explained that all District Government Agencies will be linked to the District Government Internet, and these technology upgrades are currently underway. There is an operational model system currently set up in her office at the District of Columbia Office of Personnel's Center for Workforce Development.

The use of USA Careers as 360-degree performance appraisal systems for the District of Columbia Fire and Emergency Services Department will be cost effective and within the technology improvement plan for the department.

DISCUSSION

When looking at implementing a performance appraisal system for officers of the District of Columbia Fire and Emergency Medical Services Department, consideration must first be given to the values of the organization. Will the performance appraisal system develop those officers into leaders and managers that hold the same values as the organization. The use of a 360-degree performance appraisal system is an instrument that can perform these tasks.

Since August 1, 1958, the District of Columbia Fire and Emergency Medical Services Department has been using a performance appraisal system that provides no feedback to officers on how they can become better leaders and managers. (Appendix A, Performance Appraisal Forms) In spite of this system, the department has managed to produce many outstanding leaders and managers. This has been the result of individuals attending classes and paying attention to what works, and what does not work. The feedback they receive is informal and is only written when in the form of some type of disciplinary process.

The example by Hymes (1996) is a description of why the fire service needs to give feedback to company officers from all angles -- supervisors, peers, co-workers and subordinates. Tom, the firefighter, asks to speak to the chief. Tom tells the chief there is a problem in the station, and that the problem is the captain. The problem has been going on for a long time and is not getting better. Tom describes the captain as an autocratic supervisor, who is an iron-fisted boss, and uses sarcastic and demeaning retorts on people when they show initiative. (p. 109)

The type of situation noted above happens when there is no feedback given to managers on their strengths and weaknesses. I have seen and worked for officers who act the same as this Captain. In almost every case, they quickly lose the respect of their co-workers, subordinates, and supervisors. Many have asked for feedback when they realize people are not responding to them in a positive manner.

Colón's opening statement in his 1996 article, "Use of 360-Degree Assessments by Public-Sector Management", appears to be written for the officers of the District of Columbia Fire and Emergency Medical Services Department:

These are extraordinary times for managers in all fields of endeavor. The working environment, technology, work force, customer expectations, and the very nature of work itself, are all undergoing revolutionary and constant change. In this changing world, time-honored conventions of management practices cannot be counted on to garner the same results as they did in the past. While they strive to keep up with the changes in the workplace, managers must deal with the additional challenges of downsizing, accountability, and ethical dilemmas.

The ability to receive feedback on the 19 competencies covered in the USA Careers, 360-degree performance appraisals (Appendix B, USA Careers, Questions and Competencies) is an advantage to all officers. The four officers in the pilot program for this project had a 360-degree performance appraisal performed on them using the USA Careers program. Each was interviewed about this experience using the same questions (Appendix C, Interview Questions for Pilot Program) When asked to be part of the pilot program, each officer was given two guarantees. The first guarantee

was that I would not see their 360-degree performance appraisals; the second was that I would arrange for someone to explain their appraisals to them and to give them support in developing a plan to make them better leaders and managers.

When asked what portion of the appraisal focused on the type of feedback they needed, everyone stated that all portions were needed, and one officer changed his mind after receiving his feedback.

In question 2, each officer was asked if their feedback had identified strengths and weaknesses that they had not anticipated. Each officer had received information they had not anticipated, and most of the feedback was more positive than they anticipated.

When asked if they would recommend 360-degree performance appraisals for officers in the department, the officers responded that they would recommend its use for officers in the department.

When asked if the feedback had helped them to focus on how to develop skills that would make them better leaders and managers, all officers stated that they had already taken some type of action to make themselves better leaders and managers.

The common thread between each of these officers is they are willing to try almost anything that they think will make them better at their jobs. Hakaki (1995) explains that how a manager deals with change tells a lot about them.

Less-effective managers dislike change. They prefer a work environment marked by predictability, order and stability. Many believe that turbulence in their firms is the “fault” of senior management. Others feel it is temporary.

How do you look at change? As a temporary evil, or as an appealing fact of life in business? Do you embrace it or try to avoid it? Are you energized by it, or are you happy only with order and stability (p. 10)?

The values of the city are changing, and the need for better accountability and improved customer services will have to be embraced by the leaders and managers of the District of Columbia Fire and Emergency Medical Services Department. A full-circle performance appraisal is a method to help the organization embrace these values.

O'Reilly (1995) has a comment on how the organizational values and the use of 360-degree performance appraisals relate. Says Gebelein at Personnel Decisions: "Feedback delivers its wallop and generates change depending on the person and the organizational value. If they care about relationships with others, it will have an effect in that area. If they emphasize management planning, it will impact there." (p. 100)

The use of 360-degree performance appraisals to determine pay and promotions was not supported by this research. This would not be necessary for the officers of the District of Columbia Fire and Emergency Medical Services Department to have pay and promotions linked to these appraisals. The vast majority of the officers will embrace any opportunity to become better leaders and managers, as was witnessed by the actions of the officers who took part in the pilot program for this project.

In summary, the use of a 360-degree performance appraisal system for officers of the District of Columbia Fire and Emergency Medical Services Department holds the key to achieving organizational values. In addition, the feedback from the 360-degree performance appraisal system will provide every officer with an opportunity to improve their leadership and management skills. The USA Careers

program is already in place for use by the District Government Agencies. Using the 360-degree performance appraisal system, as part of a pay raise or promotion, is not necessary for the system to be effective.

RECOMMENDATIONS

The District of Columbia Fire and Emergency Medical Services Department should develop an incremental plan to implement a 360-degree performance appraisal system for the officers of the department. This recommendation is based on the following factors: (i) it will provide the officers of the department with the feedback necessary to develop their skills as leaders and managers, (ii) the USA Careers program is available to the department through the District of Columbia Office of Personnel's Center for Workforce Development, and (iii) the current performance appraisal system for the District of Columbia Fire and Emergency Medical Services Department will be changed in the near future.

Changes in the values of the city and department to have more accountability and improved customer service will require the department to develop its officers into better leaders and managers.

The use of a USA Careers 360-degree performance appraisal system proved to be an excellent feedback tool for the officers who were exposed to it in the pilot program. The USA Careers system uses 45 questions that measure 19 competencies. These competencies included items that are aligned with the values of more accountability and improved customer services (e.g., client orientation, creative thinking, internal controls/integrity, team building, self direction, planning and evaluating, problem solving,

leadership, managing diverse workforce, vision, etc.), but the feedback from these items would benefit any officer of the District of Columbia Fire and Emergency Medical Services Department.

The officers who participated in the pilot program recommended that the department use a 360-degree performance appraisal. In addition, the officers developed plans to improve their skills as leaders and managers based on the feedback they received. All officers agreed that the key to success for any 360-degree performance appraisal system would be to have raters who would be honest and just.

Being honest and just as a rater would be easier if pay raises and promotions are not linked to a 360-degree performance appraisal. According to David Antonioni, an associate professor at the school of Business at the University of Wisconsin-Madison, agrees that separating the two types of evaluations makes logical sense and encourages honest feedback. Besides, he says, “peers don’t want to make compensation decisions about each other.” (Gruner, 1997, p. 102)

The USA Careers program was overwhelmingly embraced by the members of the pilot program. Ms. Myers (1998) stated that the USA Careers program is available for use by the department. The cost should be minimal at this time, and will be even less when the technology upgrades are completed.”

The current performance appraisal system that provides no feedback will have to be changed, and I would recommend that the department implement a performance evaluation system for every member to meet the mandates of the Control Board. This system should not be a 360-degree performance appraisal system. However, it could provide some feedback to members.

Implementing a 360-degree performance appraisal system for officers should be done incrementally. These incremental steps could include: that a 360-degree performance appraisal would be performed on all officers attending officers candidates school; having it performed on all members above the rank of Captain, making it part of any leadership training programs conducted by the department; and offering it to all officers upon their request.

It will be important to share the vision and explain the rewards of using a 360-degree performance appraisal system to every member of the department. Implementing this system will require negotiating with labor so they should be involved during every phase of implementation, even when it does not effect bargaining unit employees. Open and honest communications will be the key for implementation of a 360-degree performance appraisal system. The identified incremental steps can provide more background information on benefits or pitfalls of 360-degree performance appraisals. The final goal would be to have a 360-degree performance appraisal system that would provide feedback to every member of the department that would allow them to develop into better leaders and managers.

The recommendations set forth above are made with hopes that the District of Columbia Fire and Emergency Medical Services Department will have a performance appraisal system that provides the feedback needed to develop the potential leaders and managers of this department as a step forward into the ever-changing future. I constantly think of a sidebar quote from Shavers, (1995) the quote is from Dick Beatty in "Across the Board" -- "Without candor, you won't have trust. Without trust, you won't have risk-taking. And without risk-taking, you won't have creativity and innovation

(p.3). When you find someone who embodies the traits of candor, trust, risk-taking, creativity and innovation, you may have found a leader.

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APPENDIX A

ARTICLE XII

Appointments, Probationary Service, Promotions, Resignations

SECTION 2. PROBATIONERS:

Appointees are subject to a 12-month probationary period and may be dropped from the rolls at any time during that period for unsatisfactory service. The probationers' work at the Training Academy, in quarters, and on the fireground should be carefully observed. If any indication of inefficiency in any regard presents itself, it shall be immediately brought to the attention of the Fire Chief through proper channels.

Probationers, upon appointment, will be detailed to the Training Academy for ten weeks to attend the Probation Training Course. Upon satisfactory completion, the probationer will be assigned to a company, and will be required to successfully complete the F.D. Form 121 Series, i.e., F.D. Form 121.3 through F.D. Form 121.11; F.D. Form 121.3 to be submitted upon completion of probationer's third month of service, and one each month thereafter, in numerical order, for the next eight months.

F.D. Form 118, Monthly Work Performance Evaluation Report, shall be submitted concurrently with the F.D. Form 121 Series.

SECTION 3. PERFORMANCE RATING FOR SERVICE LONGEVITY STEP INCREASES:

Public Law 85-584, approved August 1, 1958, provides that no uniformed member shall be entitled to a service or longevity step increase in salary unless he has a "current performance rating" of satisfactory or better.

As used in these regulations, the phrase "current performance rating" is interpreted to mean the last officially recorded rating unless administrative action is pending on an unsatisfactory rating, in which case the current performance rating will be considered the rating upon which such action is pending.

In the event that the anniversary date of an employee on which an unsatisfactory rating is pending is passed without action as required by these regulations due to administrative processing, such an incident will not prevent the employee from receiving a service or longevity step increase if his last officially recorded rating was satisfactory. In this case, the employee's last officially recorded rating will be considered as his current rating.

In the event that the anniversary date of an employee whose last official recorded rating was unsatisfactory is passed due to administrative oversight, such incident will not prevent the employee from receiving a service or longevity step increase.

SECTION 4. RATING OFFICERS - DEFINED:

Ratings on members of the Fire Department will be made by:

1. The Deputy Fire Chiefs on members below the rank of Deputy Fire Chief;
2. The Assistant Fire Chief on the Deputy Fire Chiefs; and
3. The Fire Chief on the Assistant Fire Chiefs.

Performance ratings for the purpose of service/longevity step increases will not become final until approved by the Fire Chief. The Fire Chief may, in his discretion, approve or disapprove ratings assigned by rating officers.

Unsatisfactory ratings will not be approved by the Fire Chief until the member is given an opportunity to appeal the proposed action. If the member decides to appeal the action, a final decision by the Fire Chief on the rating to be assigned will be delayed until such time as he has considered the recommendation of the Performance Rating Appeals Board. The Fire Chief may, in his discretion, accept or reject recommendations of the Performance Rating Appeals Board. The decision of the Fire Chief will be final.

SECTION 5. RATING FORMS SUBMITTED:

Fire Department Form 50 (Revised 1976) shall be prepared, executed, and forwarded (original only) to the Administrative Division by responsible officers, as indicated below, 30 days prior to the date upon which the rated member is scheduled to receive a service or longevity step-increase.

Firefighting Division:

Firefighter:

Form prepared by company commander and forwarded, with recommendation thereon, to battalion platoon commander who shall forward, with recommendation thereon, to platoon Deputy Fire Chief for rating.

Sergeants, Lieutenants, and Captains:

Form prepared by battalion platoon commander and forwarded, with recommendation thereon, to platoon Deputy Fire Chief for rating.

Battalion Fire Chiefs:

Form prepared and rating assigned by platoon Deputy Fire Chief.

(If a satisfactory rating has been assigned to the above personnel, the platoon Deputy Fire Chief shall check the appropriate block on the DC Form 276, sign it on the line for "Supervisor Signature", attach it to the FD Form 50 and forwarded both forms to the Budget and Accounting Office.

If an officer or member is to receive an unsatisfactory rating, the platoon Deputy Fire Chief shall return the unsigned DC Form 276 with the appropriate documentation attached to the appropriate Assistant Fire Chief.

Divisions Other Than Firefighting:

Members below the grade of Sergeant:

Form prepared by immediate superior of member concerned and forwarded, with recommendation thereon, to Head of Division for rating.

Officers:

Form prepared and rating assigned by the Head of the Division.

If a satisfactory rating has been assigned to the above personnel, the Division Head shall check the appropriate block on the DC Form 276, sign it on the line for "Supervisor Signature", attach it to the FD Form 50, and forward both forms to the Budget and Accounting Office.

If an officer or member is to receive an unsatisfactory rating, the Division Head shall return the unsigned DC Form 276 with the appropriate documentation, and have it forwarded to the appropriate Assistant Fire Chief.

Division Heads (Deputy Fire Chief):

Form prepared and rating assigned by the Assistant Fire Chief under whom they serve. The signed DC Form 276 shall be attached to the FD Form 50 and forwarded to Budget and Accounting Office.

Assistant Fire Chief:

Form prepared and rating assigned by the Fire Chief. The signed DC Form 276 shall be attached to the FD Form 50 and forwarded to Budget and Accounting Office.

SECTION 6. RATING CONTEMPLATED-ACTION TAKEN:

Seventy days prior to the submission date of a F.D. Form 50 on an officer or member, other than a probationer, the responsible officer shall submit a F.D. Form 50.1 to the Fire Chief stating whether or not an unsatisfactory rating is contemplated for the officer or member concerned.

Except as provided for below, no officer or member shall be assigned a rating of unsatisfactory unless he has been given a notice in writing at least 90 days prior to the effective date of the rating, which notice informs him (1) of the contemplated rating of unsatisfactory, (2) how his performance fails to meet requirements, and (3) how he may improve his performance. Notices of proposed unsatisfactory ratings will be issued only by rating officers (Deputy Fire Chiefs, Assistant Fire Chiefs, or Fire Chief). Any officer below the rank of Deputy Fire Chief, who believes that any officer or member whose performance rating he recommends should be given an unsatisfactory rating, must submit a recommendation to this effect with reasons therefore to the appropriate rating officer. Such recommendations are to be submitted through the appropriate rating channels.

Whenever an advance notice of proposed unsatisfactory rating is issued, a special report thereon shall be sent to the Fire Chief setting forth, in detail, the circumstances surrounding the contemplated adverse rating.

Exception: An unsatisfactory performance rating may be assigned an officer or member for violation of any of the rules of the Department, whenever such violation occurs within the 90-day period prior to the effective date. Such violation shall obviate the required warning rating.

SECTION 7. UNSATISFACTORY RATING-OFFICER OR MEMBER NOTIFIED:

An officer or member, whose performance is rated unsatisfactory by his rating officer, will be notified in writing by the Rating Officer of the circumstances surrounding the adverse rating and may, within five days after receipt of such notification, appeal in writing to the appropriate Assistant Fire Chief.

Such appeals will be forwarded to the Performance Rating Appeals Board for consideration, and the member concerned will be afforded an opportunity to appear before the said Board, together with those officers concerned with and responsible for his rating.

SECTION 8. PERFORMANCE RATING APPEALS BOARD:

The Performance Rating Appeals Board shall consist of three officers of the Department of Battalion Fire Chief (same rank or above) and selected by the Fire Chief. The Chairman of the Board will be designated by the Fire Chief at the time of its selection. This Board will consider all performance rating appeals referred to it by the Fire Chief.

In no case will an officer serve on the Appeals Board in considering the case of an appellant from his division in divisions other than Fire Fighting.

In no case will an officer serve on the Appeals Board in considering the case of an appellant from his platoon in the Fire Fighting Division.

Decisions of the Board shall be by majority vote, and recommendations based on such vote shall be forwarded to the Fire Chief for approval or disapproval.

Every effort will be made by the Fire Chief to notify the appellant of his final decision in writing prior to the service or longevity step increase due date. Receipt of such written notice shall be acknowledged by the recipient. If, in any case, the final action of the Fire Chief is taken after the normal due date of the increase, and the action is favorable to the member, the step increase will be made effective retroactively as of the normal due date.

SECTION 9. UNSATISFACTORY RATING - REVIEWED:

A member who must serve 104 or 156 weeks between increases, and whose increase is denied because of an unsatisfactory performance rating, shall be rated again, in the manner prescribed in Section 5 of this Article, at the completion of each 52 weeks of service subsequent to the anniversary date upon which such service or longevity step increase was normally due until he is (a) granted such increase, or (b) removed from the service for inefficiency.

The receipt of two consecutive unsatisfactory ratings by a member will be sufficient evidence to justify a charge of inefficiency and such member will be cited before the Trial Board on said charge.

No member shall receive more than one service or longevity step increase within 52 weeks, 104 weeks, or 156 weeks, whichever period is applicable in a particular case.

SECTION 10. PERFORMANCE RATING - GENERAL RULES:

Detailed Members:

If a member, at the time a performance rating is to be submitted on him is detailed to another company or division, and has been so detailed for more than 30 days, the recommending officer

preparing his rating sheet shall confer with the company commanders and heads of divisions other than Fire Fighting of the company or division to which he is detailed before submitting same.

Transferred Members:

When a recommending officer feels that he has not served a sufficient length of time with a member being rated to accurately evaluate his performance, such officer shall confer with the member's former company commanders and heads of divisions other than Fire Fighting in order to arrive at a proper recommendation.

Changes in Due Dates:

The Administrative Division shall notify division commanders of changes in due dates of performance rating sheets for service or longevity step increases occasioned by denial or postponement of such increases as provided in these regulations. Proper entries shall be made on personnel record card (F.D. Form 119) of the member concerned whenever such notice is received.

Non-creditable Status:

Whenever a full pay period (80 or 96 hours) in a non-pay status is accumulated in a leave year, the anniversary dates for service or longevity step increase will be postponed one pay period for each full pay period during which the member was in a non-pay status (unless later reinstated with full pay for the period of non-pay status).

SECTION 11. WEIGHT MAINTENANCE:

Weight maintenance tables for age and height have been established by the Board of Police and Fire Surgeons. Members who are overweight shall visit their district physician who will advise and assist through personal consultation.

Appointments on and after January 1, 1959:

Members appointed on and after January 1, 1959, must maintain an appropriate weight level in accordance with their age and height throughout their entire career, and shall at no time exceed the maximum weight established for their age and height, except where such excess is approved by the Board of Police and Fire Surgeons in individual cases.

The Board of Surgeons, after taking the framework and muscle mass or other pertinent factors into consideration, will recommend a weight reduction program for those whose weight exceeds the maximum established for his age and height.

Disciplinary action will be taken when, after appropriate re-examinations, there has been no weight loss or insufficient weight loss upon certification by the Board of Police and Fire Surgeons.

DISTRICT OF COLUMBIA FIRE DEPARTMENT

Performance Rating	Prepare in Triplicate	DATE:
Officer/Member _____ Rated _____ Rank _____ Name _____ Co/Div/Platoon _____		
On _____ the above named Officer/Member will have completed _____ weeks of service in his present salary step and will be eligible for a service step increase from Step _____ at _____ to Step _____ at _____ of Class _____.		
On the basis of my observation and inquiry, I recommend that his/her service record to date be rated:		
Satisfactory Unsatisfactory	Satisfactory Unsatisfactory	
A satisfactory rating _____ would, _____ would not, warrant consideration for promotion of subject Officer/Member should he/she become eligible.	A satisfactory rating _____ would _____ would not warrant consideration for promotion of subject Officer/Member should he/she become eligible.	
_____ Recommending Officer - Rank	_____ Recommending Officer - Rank	
An unsatisfactory recommendation or an indication of "would not" above requires a Special Report indicating deficiencies, and that the Officer Member has been counselled.		
PERFORMANCE RATING Satisfactory Unsatisfactory		
_____ Deputy Fire Chief/Div. Head		_____ Date
THIS PORTION TO BE COMPLETED ON PROBATIONERS ONLY		
This is to certify that the above named probationer has performed his duties efficiently, his general attitude has been satisfactory, and he has met all the applicable requirements of Section 4, Part C of Article XII of the Rules and Regulations.		
_____ Deputy Fire Chief	_____ Date	_____ Captain
The Board of Surgeons reports this probationer to be physically fit for retention in the Department		
_____ Personne Officer		_____ Date
Retention of the above named probationer approved.		
_____ Fire Chief		_____ te
Original - Administrative Div cc - Battalion cc - Company		

PERFORMANCE RATING		Prepare in Triplicate	Date: 00-00-00
Purpose of Rating ----- Service Step Increase			
Member Eligible For Rating	XXXX Rank	XXXXXXXXXXXXXXXXXXXXXXXXXXXX Name	XXXX/XX Co/Div X Plt
Date of eligibility for Service Step Increase:			00-00-00
Total service in the Department		Number of Years	00
Period of time on which rating is based		Number of Weeks	00
Is an unsatisfactory rating being considered? Yes No			
The above consideration is based on the following:			
_____ Company Commander/Supervisor			_____ Date
Recommendation: Approved Disapproved			
_____ Battalion Fire Chief			_____ Date
Service Step Increase Is Approved Disapproved			
_____ Deputy Fire Chief			_____ Date
Distribution: Original - Admin. Div cc - Company cc - Battalion		Instructions: This Performance Rating shall reach the Office of the Deputy Fire Chiefs not less than 100 days prior to the date of eligibility.	

APPENDIX B

Program for Excellence in Municipal Management

The Leadership Profile

This is a 360-degree evaluation instrument, which means that in addition to participants filling out these survey, so will their supervisors, coworkers, and subordinates.

Participants will be able to compare how they see themselves with how others see them.

The information gathered from these surveys will be used as part of a pilot program to help individuals develop as leaders and managers.

Indicate to what extent the statements listed are accurate descriptions of the behavior of the person being assessed.

Please be honest and thoughtful; however do not spend too much time on any question.

The survey should not take more than 30 minutes to complete.

Please use a # 2 pencil.

Do not fold, staple, or clip the surveys.

Do not return it to the person being assessed.

Place it directly in the U.S. Mail in the pre-addressed envelope within 24 hours of receipt.

Your answers will remain confidential and anonymous.

You will notice on the answer sheet several items have been filled in. The name of the person being assessed has been written on the top of the sheet. The person being assessed has been

identified by number in Demographic Information section A. Additionally, in the Demographic Information section B, we have indicated your relationship to the person being assessed using the following code:

participant number = self

31 = person's coworker 1

32 = person's coworker 2

34 = person's subordinate 1

35 = person's subordinate 2

37 = person's supervisor

Your response will be grouped with others in the same category and the results will be reported.

Your responses will not be singled out. Your answers will remain confidential and anonymous

OCCUPATIONAL TASKS/ACTIVITIES ASSESSMENT

For each of the following statements, please indicate the degree to which you think it is an accurate description of the behavior of the person being assessed. Use the following scale to respond to each question:

None	Minimal	Good	Excellent	N/A
1	2	3	4	5

Please use a #2 pencil to fill out the enclosed answer sheet.

1. Models high standards of honesty and integrity
2. Obtains relevant information before making a decision
3. Creates a work environment where individuals are treated fairly
4. Involves relevant people in decision-making
5. Maintains a high level of professional expertise
6. Encourages open communication and input from employees
7. Takes corrective action when problems arise
8. Promotes teamwork within the organization
9. Resolves problems and reaches a workable solution among parties
10. Asks questions that clarify issues
11. Implements program plans to meet objectives
12. Assesses the various aspects of a problem
13. Gives subordinates substantial authority and discretion to carry out work activity and make decisions

14. Provides regular guidance to subordinates
15. Schedules work assignments, sets priorities, and directs work of the staff
16. Informs subordinates about developments and their impact on organizational activities
17. Provides recognition and rewards for effective performance
18. Establishes an environment that encourages innovation
19. Ensures that organization's activities, services, or products reflect higher management policies
20. Keeps abreast of the organization's performance and effectiveness
21. Encourages staff to take innovative approaches to problem solving
22. Keeps abreast of key agency policies and priorities likely to effect the program area
23. Establishes networks with key individuals or groups
24. Recommends solutions to critical or sensitive problems
25. Establishes a balance among competing objectives to accomplish overall organizational goals
26. Communicates the organization's vision and mission to staff
27. Establishes organizational objectives to provide direction for assignment of resources
28. Adjusts work schedule to meet changing priorities
29. Explains significant goals, activities, policies, and procedures to subordinates
30. Empowers employees nearest the data with authority and responsibility to make decisions
31. Evaluates program performance and project accomplishments to assess overall program effectiveness and efficiency
32. Makes decisions for agency
33. Acts as liaison between workers and management to facilitate organizational process

34. Monitors programs to identify problems
35. Initiates and maintains contact with high-level, in-house officials
36. Monitors and evaluates employee work products
37. Informs higher level management of program developments
38. Encourages regular communication with clients to ensure their needs are met
39. Integrates client expectations into the delivery process of services or products
40. Explains or defends management's policies or practices
41. Fosters consensus building with subordinates
42. Analyzes diverse viewpoints to make planning decisions and solve work problems
43. Helps employees to improve their job performance
44. Determines specific projects or actions to accomplish the goals of the organization
45. Gains support of key individuals to ensure goal accomplishment.

EMPLOYEE ASSESSMENT PROFILE

MANAGER

Description Competencies:

Client Orientation

Conflict Management

Creative Thinking

Decisiveness

Flexibility

Human Resources Management

Influencing/Negotiating

Internal Controls/Integrity

interpersonal Skills

Leadership

Managing Diverse Workforce

Oral Communication

Planning and Evaluating

Problem Solving

Self-Direction

Team Building

Technical Competence

Vision

Written Communication

Tasks:

Act as a liaison between workers and management to facilitate organizational progress.

Adjust work schedules to meet changing priorities.

Analyze diverse viewpoints to make planning decisions and solve work problems.

Ask questions that clarify issues.

Assess the various aspects of a problem.

Communicate the organization's vision and mission to staff.

Create a work environment where individuals are treated fairly.

Determine specific projects or actions to accomplish the goals of the organization.

Empower employees nearest the data with authority and responsibility to make decisions.

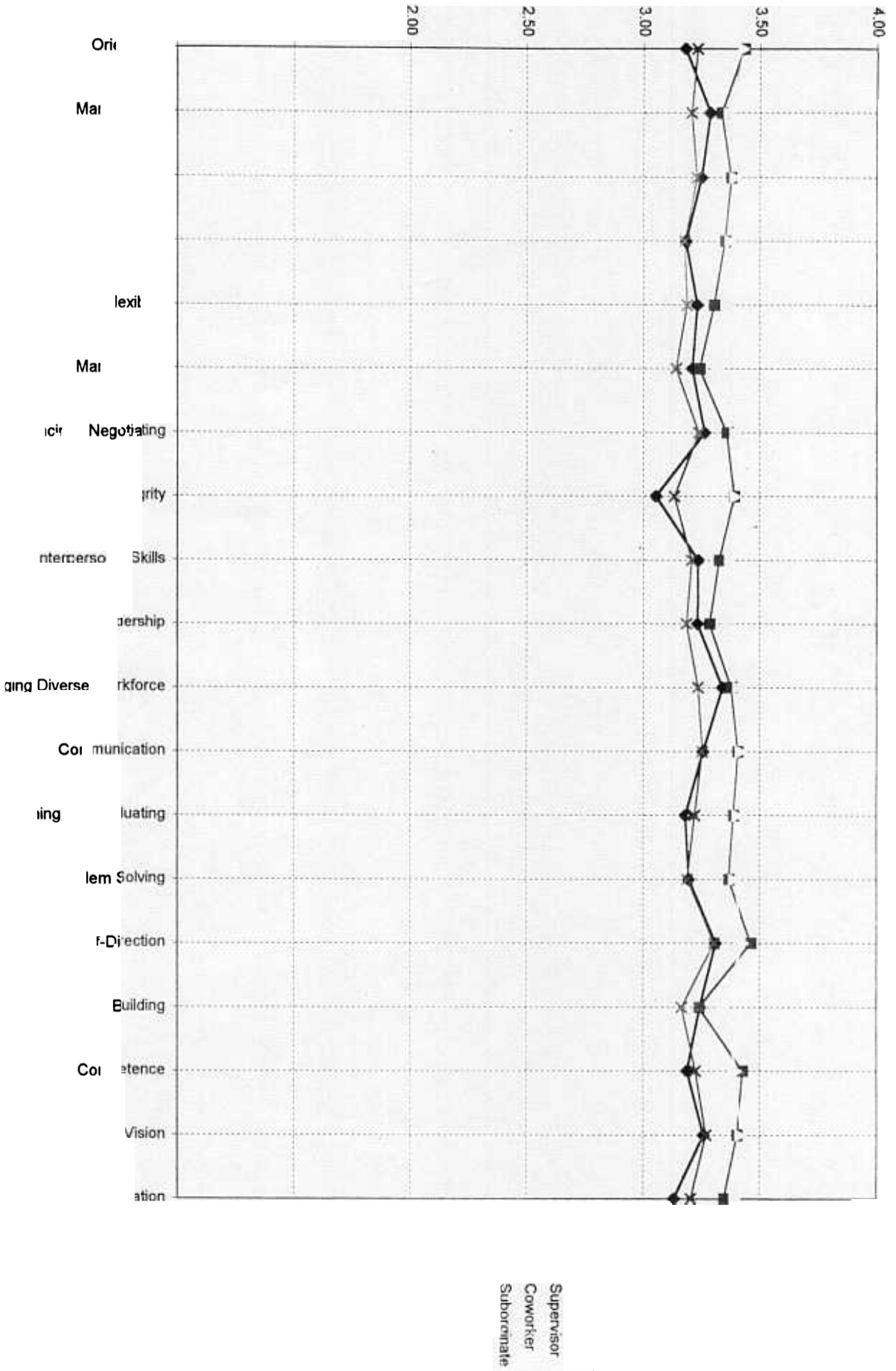
Encourage open communication and input from employees.

Encourage regular communication with clients to ensure their needs are met.

Encourage staff to take innovative approaches to problem solving.

Ensure that organization's activities, services, or products reflect higher management policies.

PEMM Inaugural Class



APPENDIX C

Interview Questions for the Pilot Program

1. What portion of the 360-degree performance appraisal focused on the type of feedback a fire officer needs, or does not need, and why?
2. From the feedback, were there identified strengths and weaknesses that you did not anticipate?
3. What is your overall opinion of 360-degree performance appraisals, and would you recommend it be used for officers in the District of Columbia Fire and Emergency Medical Services Department? Why or why not?
4. Having received this feedback, did it help you to focus on how you can develop skills that will make you better leaders and managers?